

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

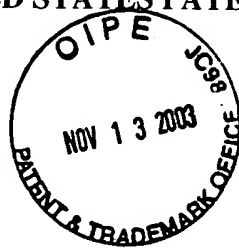
In re Patent Application of

AOKI

Serial No. 09/960,517

Filed: September 24, 2001

For: SEMICONDUCTOR DEVICE AND FABRICATION PROCESS
THEREFOR



Atty. Ref.: 900-400

Group: 2822

Examiner: T. THOMAS

* * * * *

November 13, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:



TECHNOLOGY CENTER 2800

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INFORMATION DISCLOSURE STATEMENT

- ☐ 1. **PTO-1449 Pursuant to 37 CFR 1.97(b)**
[within 3 months of filing or prior to 1st Office Action] *N/C*
- ☐ 2. **Statement Pursuant to 37 CFR 1.97(c)**
[before Final Office Action and Allowance] *N/C*
- ☒ 3. **Fee Payment Pursuant to 37 CFR 1.97(c)**
[before Final Office Action and Allowance] *\$180.00*
- ☐ 4. **Pursuant to 37 CFR 1.97(d)**
[before Issue Fee payment] *\$180.00*

The following are submitted in the above-identified application in compliance with 37 C.F.R. §§ 1.97 and 1.98:

- ☒ 5. A list of documents on Form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document (or foreign search report) is enclosed herewith.

This paper is submitted in accordance with:

- ☐ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]

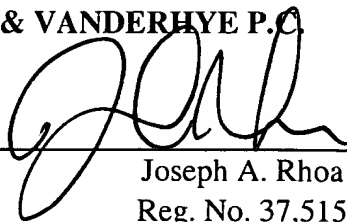
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- ☒ 7. 37 CFR 1.97(c): [before Final Office Action and Allowance, whichever is earlier]; and
- ☐ a) The required Statement made in item 9 below; or
- ☒ b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is submitted herewith.
- ☐ 8. 37 CFR §1.97(d): [before issue fee payment]; and
- ☐ a) The fee (\$180.00) required by 37 CFR §1.17(p) is authorized in item 10 below; and
- ☐ b) The required Statement is stated in item 9 below.
- ☐ 9. Statement under 37 CFR 1.97(e)
- ☐ a) The undersigned attorney of record hereby certifies under 37 C.F.R. §1.97(e) that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement (each item contained in this IDS was the first citation of that item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to the filing of this IDS); or
- ☐ b) No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement, after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ 10. Please charge all deficiency fees associated with the submission of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 14-1140. An original and one (1) copy of this document are enclosed.

Respectfully submitted,

NIXON & VANDERHUYE P.C.

By: _____


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JAR:caj

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